ATTORNEY DOCKET NO.: N1085-00134 [TSMC 2002-1045]

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: You-Hua Chou et al.

Serial No.: Not Known Yet

Group Art Unit: Not Known Yet

Filed: 10/02/2003

**Examiner: Not Known Yet** 

For: METAL-INSULATOR-METAL CAPACITOR STRUCTURE

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as "Express Mail Post Office to Addressee" Mailing Label Number EV 306257229 US to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Date

Jank A Pau

Joseph A. Powers

#### INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

Dear Sir:

Enclosed herewith is an Information Disclosure Statement pursuant to 37 CFR. § 1.56 in connection with the above-identified application, which statement is being filed:

- [X] Together with the present application.
- [ ] Before the first Office Action on the merits or three (3) months from the filing date of this application, whichever occurs last. [37 CFR § 1.97(b)]
- [ ] After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]
- [ ] After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

- [x] No separate requirements are needed.
- [x] No additional fee is required.

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## [ ] Fee Under 37 CFR § 1.97(c)

The fee of \$180.00 for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.

## [ ] Fee Under 37 CFR § 1.97(d)

The fee of \$180.00 for submission of an information disclosure statement under § 1.97(d) set forth in § 1.17(p) accompanies this statement.

### [ ] Certification Under 37 CFR § 1.97(e)

- () Each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
- () No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this statement.

#### **Provision of Copies of References**

IJ	A copy of each of the non-U.S. patent references listed on the attached Form PTO-1449 is enclosed herewith and forms a part hereof.			
	[]	Partial Translations of References form a part hereof.	are enclosed herewith and	
	[]	A copy of the European Search Report from a EPO application is enclosed herewith.	a corresponding or related	
	[]	A copy of the International Search Report from PCT application is enclosed herewith.	n a corresponding or related	

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# Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted

- [ ] This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior U.S. Application No(s).

  The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application:
- [x] The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to Deposit Account No. <u>04-1679</u>. A duplicate copy of this transmittal is attached.

Respectfully submitted,

DATE: 10 30>

Jeseph A. Powers Registration No. 47,006 Attorney for Applicant(s)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complet if Known Substitute for form 1449/PTO **Application Number** Not Yet Assigned Filing Date 10/03/2003 INFORMATION DISCLOSURE First Named Inventor You-Hua Chou STATEMENT BY APPLICANT Art Unit Not Yet Assigned (Use as many sheets as necessary) **Examiner Name** Not Yet Assigned Attorney Docket Number N1085-00134

				DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (# known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear
	Α	<sup>US-</sup> 2002/0113292 A1	08-22-2002	Appel	
	В	<sup>US-</sup> 6,451,667 B1	09-17-2002	Ning	
	С	<sup>US-</sup> 2003/0003665 A1	01-02-2003	Nakagawa	
	D	<sup>US-</sup> 6,504,202 B1	01-07-2003	Allman et al.	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.1	Foreign Patent Document	ign Patent Document Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	
		Country Code <sup>3 -</sup> Number <sup>4 -</sup> Kind Code <sup>5</sup> (if known)				T <sup>6</sup>
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Examiner	Date	
Signature	Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.